

AF 1 1644

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/214,881
Filing Date	June 7, 1999
First Named Inventor	Ozaki
Group Art Unit	1644
Examiner Name	Patrick Nolan
Attorney Docket Number	13240.0004.NPUS00

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

- ☒ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

PTO Form-1449w/cited references;

Postcard

**RECEIVED**

DEC 10 2003

TECH CENTER 1600/2900

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual nameChristopher J. Buntel, Ph.D.; Howrey Simon Arnold & White, LLP  
Reg. No. 44,573; Customer No. 23369

Signature

Date

December 2, 2003

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450; on this date: 12/02/03

Typed or printed name

Christopher J. Buntel, Ph.D.

Signature

Date

December 2, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 180.00

## Complete if Known

Application Number	09/214,881
Filing Date	June 7, 1999
First Named Inventor	Shoichi Ozaki
Examiner Name	Patrick Nolan
Art Unit	1644
Attorney Docket No.	13240.0004.NPUS00

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number  
Deposit Account Name

01-2508/13240.0004.NPUS00

Howrey Simon Arnold &amp; White LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
		1001	770	Utility filing fee	
		1002	340	Design filing fee	
		1003	530	Plant filing fee	
		1004	770	Reissue filing fee	
		1005	160	Provisional filing fee	
SUBTOTAL (1)					(\$ )

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
		1202	18	2202 9 Claims in excess of 20
		1201	86	2201 43 Independent claims in excess of 3
		1203	290	2203 145 Multiple dependent claim, if not paid
		1204	86	2204 43 ** Reissue independent claims over original patent
		1205	18	2205 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Christopher J. Buntel, Ph.D.	Registration No. (Attorney/Agent)	44,573	Telephone	713.787.1569
Signature		Date	December 2, 2003		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED  
DEC 10 2003  
TECH CENTER 1600/2900

In re Application of:  
Ozaki et al.

Serial No.: 09/214,881  
Confirmation No.: 8089

Filed: June 7, 1999

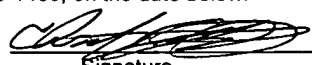
For: DIAGNOSTIC DRUGS FOR AUTO  
IMMUNE DISEASES

§  
§ Group Art Unit: 1644  
§  
§ Examiner: Patrick Nolan  
§  
§ Att'y Docket: 13240.0004.NPUS00  
§  
§ Client Docket:  
§ F5-01F03832/KA016-1US RCE  
§

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

<p>CERTIFICATE OF MAILING 37 C.F.R. 1.8</p> <p>I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date below:</p> <p>December 2, 2003  Signature</p>
---

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

12/05/2003 SSITHIB1 00000147 012508 09214881  
01 FC:1806 180.00 DA

In accordance with 37 C.F.R. § 1.97(e), Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was not known to Applicant more than three months from the filing of the present statement, and was cited in a communication from a foreign patent office in a counterpart foreign application received not more than three months prior to the filing of the present statement, as evidenced by the date of receipt of the enclosed European Examination Report.

A fee as set forth in 37 C.F.R. § 1.17(p) in the amount of \$180 is enclosed. A Fee Transmittal form is enclosed authorizing the Commissioner to deduct the above fee from Howrey Simon Arnold & White, LLP Deposit Account 01-2508/13240.0004.NPUS00/BNT.

Applicant respectfully requests that the listed documents be made of record in the present case.

Respectfully submitted,



Christopher J. Buntel, Ph.D.  
Reg. No. 44,573  
Customer No. 23369  
ATTORNEY FOR ASSIGNEE,  
KANEKA CORPORATION

Howrey Simon Arnold & White, LLP  
750 Bering Drive  
Houston, TX 77057-2198  
(713) 787-1569

December 2, 2003



Form PTO-1449 (modified)

Atty. Docket No.  
13240.0004.NPUS00Serial No.  
09/214,881

List of Patents and Publications for Applicant's

Applicant  
Ozaki et al.

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Filing Date:  
June 7, 1999Group:  
1644U.S. Patent Documents  
N/AForeign Patent Documents  
N/AOther Art  
See Page 1

RECEIVED  
DEC 10 2003  
TECH CENTER 1800/2900

## Other Art (Including Author, Title, Date, Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	European Examination Report; August 28, 2003
	C2	"Anti-Neutrophil cytoplasmic antibodies (ANCA) in ulcerative colitis; anti-cathepsin G and a novel antibody correlate with a refractory type;" J. Sobajima, S. Ozaki, T. Okazaki, F. Osakada, S. Sumita, K. Mori & K. Nakao; 1996 Blackwell Science Ltd, Clinical and Experimental Immunology; pp. 120-124
	C3	"Antineutrophil cytoplasmic autoantibodies, autoantigens, and systemic vasculitis;" Wolfgang L. Gross, Elena Csernok and Udo Helmchen; 1995 APMIS 103, pp. 81-97
	C4	
	C5	
	C6	
	C7	
	C8	
	C9	
	C10	
	C11	
	C12	
	C13	
	C14	
	C15	
	C16	
	C17	
	C18	
	C19	
	C20	

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)